



Appendix E

Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species

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Introduction

The examples and samples of certificates, permits, and reports contained in this appendix are divided into eight categories. The categories are as follows:

1. USDA General Permit that makes it legal to export or reexport commercial shipments of plants protected by ESA and CITES.
2. Permits that make it legal to export plants protected by The Endangered Species Act (ESA).
3. Document that makes it legal to export or reexport plants protected by ESA.
4. The anatomy of a multipurpose form used to construct permits and certificates that authorize trade in plants protected by The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES).
5. Documents that make it legal to export plants protected by CITES.
6. Document that makes it legal to export wild American ginseng protected by CITES.
7. Document that makes it legal to export cultivated American ginseng protected by CITES.

8. Document that makes it legal to export American ginseng protected by CITES.

USDA General Permit

USDA
United States
Department of
Agriculture

Animal and
Plant Health
Inspection
Service

Plant Protection
and Quarantine

No. GP-1026

General Permit

To engage in the business of
importing, exporting, or reexporting terrestrial plants
regulated by 50 CFR 17.12 or 23.23

Issued to: Exotic Collectors Ltd., Inc.
9470 158th Road South
Delray Beach, Florida 33446

July 17, 1996
Expiration Date

Deborah M. Knott
Approving Official
DEBORAH M. KNOTT

Any alteration, forgery, or unauthorized use of this Federal Form is subject to civil penalties of up to \$250,000 (7 U.S.C. § 7734(b)) or punishable by a fine of not more than \$10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. § 1001).

PPQ FORM 622 (SEP 2000) U.S. GOVERNMENT PRINTING OFFICE: 2000-323-476

PART 1 - PERMITTEE

FIGURE E-1-1: Example of a USDA General Permit (General Permit, PPQ Form 622) issued for all commercial exports and reexports of protected plants

Permits That Make It Legal to Export Plants Protected by ESA

Permit for Endangered or Threatened Species (Form 3-201) (Federal Fish and Permit):

See [Figure E-1-2 on page-E-1-4](#) for an example of this permit.

Purpose

To authorize certain activities involving an endangered or threatened species. With a permit, it is legal to export and/or sell or offer for sale endangered or threatened species in foreign commerce.

Important Information

This permit is only good for plants and plant derivatives of species listed solely as endangered.



All conditions listed in Block 11 must be followed; otherwise the movement of the plant or its derivatives is illegal. However, seeds of cultivated threatened species do not require a permit and their movement is not restricted as a threatened species if the seeds are labeled with the name of the species and a statement that the seeds are of cultivated origin.

How to Endorse Permits

If the permit is authentic and all conditions are met, then stamp “RELEASED” in the bottom right-hand corner of Block 11; then sign and date. See [page-2-8-14](#) for directions on how to distribute endorsed copies of this permit¹.

¹ If the exporters need to have their General Permit renewed, or have questions about renewals, they should call the Permit Unit at 1-877-770-5990, fax at 1-301-734-8700, write to PPQ-APHIS-USDA, Permit Unit, 4700 River Road, Riverdale, MD 20737, or go to <http://www.aphis.usda.gov/ppq/ss> on the Internet.


 DEPARTMENT OF THE INTERIOR U.S. FISH AND WILDLIFE SERVICE FEDERAL FISH AND WILDLIFE PERMIT		3-201 (1/97)
1. PERMITTEE DR. M. F. MARCONE DEPARTMENT OF FOOD SCIENCE UNIVERSITY OF GUELPH GUELPH, ONTARIO, N1G 2W1 CANADA		2. AUTHORITY-STATUTES 16 USC 1539 (A) 16 USC 1533 (D) REGULATIONS (Attached) 50 CFR 17.62 50 CFR 17.72
		3. NUMBER MA044611-0
		4. RENEWABLE <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
		5. MAY COPY <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
		6. EFFECTIVE 11/20/2001
		7. EXPIRES 11/19/2006
8. NAME AND TITLE OF PRINCIPAL OFFICER (If #1 is a business)		9. TYPE OF PERMIT ENDANGERED & THREATENED SPECIES- PLANTS
10. LOCATION WHERE AUTHORIZED ACTIVITY MAY BE CONDUCTED IMPORT AND RE-EXPORT THROUGH ANY PORT LISTED IN 50 CFR 24.12.		
11. CONDITIONS AND AUTHORIZATIONS: A. GENERAL CONDITIONS SET OUT IN SUBPART D OF 50 CFR 13, AND SPECIFIC CONDITIONS CONTAINED IN FEDERAL REGULATIONS CITED IN BLOCK #2 ABOVE, ARE HEREBY MADE A PART OF THIS PERMIT. ALL ACTIVITIES AUTHORIZED HEREIN MUST BE CARRIED OUT IN ACCORD WITH AND FOR THE PURPOSES DESCRIBED IN THE APPLICATION SUBMITTED. CONTINUED VALIDITY, OR RENEWAL OF THIS PERMIT IS SUBJECT TO COMPLETE AND TIMELY COMPLIANCE WITH ALL APPLICABLE CONDITIONS, INCLUDING THE FILING OF ALL REQUIRED INFORMATION AND REPORTS. B. THE VALIDITY OF THIS PERMIT IS ALSO CONDITIONED UPON STRICT OBSERVANCE OF ALL APPLICABLE FOREIGN, STATE, LOCAL OR OTHER FEDERAL LAW. C. VALID FOR USE BY PERMITTEE NAMED ABOVE. D. Acceptance of this permit serves as evidence that the permittee understands and agrees to abide by the "General Permit Conditions for Endangered and Threatened Plants". E. Authorized to re-import and re-export specimens (seeds, plants and/or derivatives) of seabeach amaranth (<i>Amaranthus pumilus</i>) of cultivated origin for the purpose of scientific research: Accession numbers PI 553080 (DB 8905; Ames 10818) PI 553081 (DB 8905; Ames 10819) PI 553082 (DB 8907; Ames 10820) PI 553083 (DB 8908; Ames 10821) PI 553084 (DB 8909; Ames 10822) PI 553085 (DB 8911; Ames 10824) F. Authorized to re-import and re-export specimens (seeds, plants and/or derivatives) of round-leaved chaff-flower (<i>Achyranthes splendens</i> var. <i>rotundata</i>) of cultivated origin for the purpose of scientific research. Accession numbers 92.0256 and 90s150. G. Authorized to re-import and re-export specimens (seeds, plants and/or derivatives) of kulu'i (<i>Nototrichium humile</i>) of cultivated origin for the purpose of scientific research. Accession numbers 93c267 and 93s47. H. Authorized to conduct scientific analyses at various U.S. facilities as described in the application. I. Permittee may not release any of the plants, seeds, or derivatives into the wild. <input type="checkbox"/> ADDITIONAL CONDITIONS AND AUTHORIZATIONS ALSO APPLY		
12. REPORTING REQUIREMENTS		
ISSUED BY (s) Charlie Chandler		TITLE CHIEF, BRANCH OF PERMITS, DMA
		DATE 11/20/2001

FIGURE E-1-2: Example of an Division of Management Authority (DMA) permit issued under the authority of ESA for Endangered and/or Threatened Species (Form 3-201)

Permit for Threatened Species (Form 3-201) (Federal Fish and Wildlife Permit):

See [Figure E-1-3 on page-E-1-6](#) for an example of this permit.

Purpose To authorize certain activities involving a threatened species². With a permit it is legal to export and/or sell or offer for sale threatened species in foreign commerce.

Important Information This permit for threatened species is only good for plants and plant derivatives of species listed solely as threatened.

Permits are approved only for scientific research, enhancement of propagation, survival of the species, horticultural or botanical exhibition, educational purposes, or special purposes consistent with ESA.



Important

All conditions listed in Block 11 must be followed; otherwise the movement of the threatened plant or its derivatives is illegal.

Seeds of cultivated threatened species do not require a permit if those seeds are labeled with the name of the species and a statement that the seeds are of cultivated origin.

How to Endorse Permits If the permit is authentic and all conditions are met, then stamp “RELEASED” in the bottom right-hand corner of Block 11; then sign and date. See [page-2-8-14](#) for directions on how to distribute endorsed copies of this permit.

² A threatened species is one likely to become endangered and is afforded less protection than an endangered species.


 <p>DEPARTMENT OF THE INTERIOR U.S. FISH AND WILDLIFE SERVICE</p> <p>FEDERAL FISH AND WILDLIFE PERMIT</p>		<p>3-201 (1/97)</p>	
<p>1. PERMITTEE</p> <p>U.S. FISH & WILDLIFE SERVICE WESTERN WASHINGTON OFFICE 510 DESMOND DRIVE SE, SUITE 102 LACEY, WA 98503</p>		<p>2. AUTHORITY-STATUTES</p> <p>16 USC 1533 (D)</p> <p>REGULATIONS (Attached)</p> <p>50 CFR 17.72</p>	
		<p>3. NUMBER</p> <p>MA035697-0</p>	
		<p>4. RENEWABLE</p> <p><input type="checkbox"/> YES <input checked="" type="checkbox"/> NO</p>	<p>5. MAY COPY</p> <p><input type="checkbox"/> YES <input checked="" type="checkbox"/> NO</p>
		<p>6. EFFECTIVE</p> <p>12/06/2000</p>	<p>7. EXPIRES</p> <p>12/06/2001</p>
<p>8. NAME AND TITLE OF PRINCIPAL OFFICER (if #1 is a business)</p> <p>GERRY JACKSON</p>		<p>9. TYPE OF PERMIT</p> <p>THREATENED SPECIES - PLANTS</p>	
<p>10. LOCATION WHERE AUTHORIZED ACTIVITY MAY BE CONDUCTED</p>			
<p>11. CONDITIONS AND AUTHORIZATIONS:</p> <p>A. GENERAL CONDITIONS SET OUT IN SUBPART D OF 50 CFR 13, AND SPECIFIC CONDITIONS CONTAINED IN FEDERAL REGULATIONS CITED IN BLOCK #2 ABOVE, ARE HEREBY MADE A PART OF THIS PERMIT. ALL ACTIVITIES AUTHORIZED HEREIN MUST BE CARRIED OUT IN ACCORD WITH AND FOR THE PURPOSES DESCRIBED IN THE APPLICATION SUBMITTED. CONTINUED VALIDITY OR RENEWAL OF THIS PERMIT IS SUBJECT TO COMPLETE AND TIMELY COMPLIANCE WITH ALL APPLICABLE CONDITIONS, INCLUDING THE FILING OF ALL REQUIRED INFORMATION AND REPORTS.</p> <p>B. THE VALIDITY OF THIS PERMIT IS ALSO CONDITIONED UPON STRICT OBSERVANCE OF ALL APPLICABLE FOREIGN, STATE, LOCAL OR OTHER FEDERAL LAW.</p> <p>C. VALID FOR USE BY PERMITTEE NAMED ABOVE.</p> <p>D. Acceptance of this permit serves as evidence that the permittee understands and agrees to abide by the "General Permit Conditions for Endangered and Threatened Plants". The reporting requirements of Condition 8 are not applicable and no report need be submitted.</p> <p>E. Authorized to import 4,000 to 6,000 seeds of golden paintbrush, <i>Castilleja levisecta</i>, collected from wild populations of the plant at Trials Island and Alpha Islet, British Columbia, Canada, for use as described in permittee's application file.</p> <p>F. Half of the imported seeds must be stored at the Berry Botanic Garden, Portland, Oregon, for future use as determined by the U.S. Fish and Wildlife Service.</p> <p><input type="checkbox"/> ADDITIONAL CONDITIONS AND AUTHORIZATIONS ALSO APPLY</p>			
<p>12. REPORTING REQUIREMENTS</p>			
<p>ISSUED BY</p> <p>(s) Charlie Chandler</p>		<p>TITLE</p> <p>CHIEF, BRANCH OF PERMITS, DMA</p>	<p>DATE</p> <p>12/06/2000</p>

FIGURE E-1-3: Example of an Division of Management Authority (DMA) permit issued under the authority of ESA for Threatened Species (Form 3-201)

Document That Makes It Legal to Export or Reexport Plants Protected by CITES

Multipurpose Form 3-201A (Federal Fish and Wildlife Permit):

See [Figure E-1-4 on page-E-1-8](#) for a sample of this form.

Purpose

To authorize certain activities involving articles protected by CITES. With an endorsed permit or certificate it is legal to export or reexport protected or excepted articles.

Important Information

Form 3-201A is used to issue permits and certificates. A permit allows trade in protected species that would ordinarily be prohibited. Certificates on the other hand are issued when the article is “excluded” (an exception) from the prohibitions of CITES.



Important

The articles or material that qualifies for an exception must still be accompanied by DMA issued documents

◆ EXPORT PERMIT

Issued for the export of Appendix I, II, and III species that are not excluded from CITES' prohibitions. For example, artificially propagated Appendix I plants that are being traded commercially would be issued a permit, not a certificate. Export Permits can never be valid for longer than 6 months.

◆ REEXPORT CERTIFICATE

Issued for protected species that were legally imported into the United States and are being reexported.

Appendix E: Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species

FORM 3-201A (1/97)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input type="checkbox"/> OTHER CERTIFICATE (see block 9)		Page of						
3. Permittee (name and address, country)			4. Consignee (name and address, country)									
5. Special Conditions			6a. Purpose of Transaction		5b. Security No.							
			6. U.S. Management Authority DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA									
For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.			Issuing Date		United States Management Authority							
7/8. Common Name and Scientific name (genus and species) of Animal or Plant			9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)		10. Appendix No. and							
A Common Name					10.							
Scientific Name					11. Quantity (including units)							
					11a. Total Exported/Quota							
12. Country of Origin		Permit/Certificate No.		Date of Issue		12b. Breeding Operation No.						
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition						
B Common Name			9.		10.							
Scientific Name					11. Quantity (including units)							
					11a. Total Exported/Quota							
12. Country of Origin		Permit/Certificate No.		Date of Issue		12b. Breeding Operation No.						
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition						
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.			14. Bill of Lading/Air Way-Bill Number		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.							
<table border="1"> <thead> <tr> <th>See Block 7</th> <th>Quantity</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> </tbody> </table>			See Block 7	Quantity	A		B		Port of Exportation / Re-exportation			
See Block 7	Quantity											
A												
B												
			Total No. of Shipping Containers		Inspecting Official's Stamp, Signature and Date							

FIGURE E-1-4: Sample of an DMA multipurpose form for CITES permits and certificates (Form 3-201A)

See [Figure E-1-5 on page-E-1-10](#) for an example of this certificate.

◆ **OTHER CERTIFICATES (EXCEPTIONS)**

- ❖ Issued when the plant was acquired prior to the date that CITES applied to it (PRECONVENTION CERTIFICATE).
- ❖ Issued when Appendix II plants were artificially propagated or is a part or derivative of an artificially propagated plant (CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS).
- ❖ Issued when Appendix I plants were artificially propagated or is a part or derivative of an artificially propagated plant—as long as the Appendix I material was not propagated for commercial activities (CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS).
- ❖ Issued when the plant is exported or reexported as a noncommercial loan, donation, or exchange between registered scientists or scientific institutions (CERTIFICATE OF SCIENTIFIC EXCHANGE).
- ❖ Issued when Appendix III material that has not been listed by the United States is being exported or reexported (CERTIFICATE OF ORIGIN).

**How to Endorse
Export Permits
and Certificates**

See the specific permit or certificate that follows.

Appendix E: Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species


FORM 3-201A (1997)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		Page 1 of 3	
CITES 3. Permittee (name and address, country) SEARLE BROTHERS NURSERY INC. 6640 S.W. 172 AVE. FT. LAUDERDALE, FL 33331 U.S.A.		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)		1. Original Permit/Certificate No. 01US807154/9 2. Valid until 11/04/2005	
		4. Consignee (name and address, country)		Monica Farris	
5. Special Conditions • MUST COMPLY WITH ATTACHED CONDITIONS FOR CITES CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS. CERTIFICATE MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL ON CERTIFICATE COPY, PERMITTEE MUST a) COMPLETE BLOCKS 4 AND 11. b) LIST SHIPMENT # AND c) HAVE COMPLETED CERTIFICATE COPY VALIDATED BY USDA PRIOR TO EACH SHIPMENT. • MUST EXPORT THROUGH A USDA DESIGNATED PORT. • THIS RE-ISSUES AND REPLACES US 807154 ISSUED 4/9/1996.		5a. Purpose of Transaction T		5b. Security No. U59264702	
For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.		6. U.S. Management Authority DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA  11/05/2001 Issuing Date		United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)	
7/B. Common Name and Scientific name (genus and species) of Animal or Plant A. Common Name CYCADS Scientific Name CYCADACEAE		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live) 9. CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS WHOLE PLANTS		10. Appendix No. and Source 10. 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota	
12. Country of Origin U.S.A. 12a. Country of Last Re-export		Permit/Certificate No. US 807154 Re-export Certificate No.		Date of Issue 04/08/1996 Date of Issue	
B. Common Name Scientific Name STANGERACEAE		9. CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS WHOLE PLANTS		10. 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota	
12. Country of Origin U.S.A. 12a. Country of Last Re-export		Permit/Certificate No. US 807154 Re-export Certificate No.		Date of Issue 04/08/1996 Date of Issue	
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block. See Block 7 Quantity A B		14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation Total No. of Shipping Containers		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. Inspecting Official's Stamp, Signature and Date	

FIGURE E-1-5: Example of an DMA issued Certificate for Artificially Propagated Plants (Form 3-201A)



In the unnumbered block to the right of the CITES logo, "OTHER CERTIFICATES" has been checked. Block 9 then goes on to specify the kind of certificate being issued. Here the certificate is being issued for artificially propagated plants, a category of exception.

The Anatomy of a Multi-purpose Form Used to Construct Permits and Certificates That Authorize Trade in Plants Protected by CITES

■ Permit or Certificate Issued by the DMA to Authorize the Movement of Protected Articles (Form 3-201A) (Federal Fish and Wildlife Form):

See [Figure E-1-6 on page-E-1-12](#) for an example of this permit.

Unnumbered Block to the Right of the CITES Logo

■ This block identifies the kind of document being issued:

- ◆ An Export Permit
- ◆ A Reexport Certificate
- ◆ Other Certificates (the kind of certificate will be specified in Block 9)

■ Block 1
(completed by
DMA)

Identifies the number of the document (used for control purposes).

■ Block 2
(completed by
DMA)

Tells when the permit or certificate expires.

■ Block 3
(completed by
DMA)

Names to whom the permit is issued.

■ Block 4
(completed by
DMA or the
permittee)

Identifies to whom the articles are going.

■ Block 5
(completed by
DMA)

Specifies any and all conditions that have to be met before the movement of the articles is legal. This block will tell you if the document may be copied or if multiple shipments are allowed. This block may be amended to authorize the movement of plants or their derivatives that are also protected by ESA as endangered or threatened.

Permit or Certificate Issued by DMA to Authorize the Movement of CITES:

FORM 3-201A (1997)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input type="checkbox"/> OTHER CERTIFICATE (see block 9)		Page 1 of 5							
3. Permittee (name and address, country) ALAN C. SALZMAN, ORCHIDS 1806 JACKSON ROAD PENFIELD, NY 14526				4. Consignee (name and address, country)									
5. Special Conditions MUST COMPLY WITH ATTACHED CONDITIONS FOR PLANTS. MUST EXPORT THROUGH A USDA DESIGNATED PORT & PERMIT MUST BE VALIDATED BY THE USDA PRIOR TO EXPORT. PERMIT MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL. APPENDIX I SPECIMENS ARTIFICIALLY PROPAGATED FOR COMMERCIAL PURPOSES (ARTICLES IV & VII.4). PERMITTEE MUST COMPLETE BLOCK 4, QUANTITY, AND SHIPMENT # PRIOR TO EACH SHIPMENT. THIS RE-ISSUES AND REPLACES 00US805371/9 ISSUED 12/12/2000.				5a. Purpose of Transaction T		5b. Security Stamp No. US94250499							
6. U.S. Management Authority OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA (s) Charlie Chandler 07/26/2000				Issuing Date 07/26/2000									
7/8. Common Name and Scientific name (genus and species) of Animal or Plant				9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)									
A. Common Name ASIAN TROPICAL LADY'S SLIPPER		Scientific Name PAPHIOPEDILUM SPECIES		9. EXPORT: ARTIFICIALLY PROPAGATED WHOLE PLANTS (SEEDLINGS AND MATURE); AS DESCRIBED ON ATTACHED INVENTORY AND VARIETIES THEROF.		10. Appendix No. and Source 1 D							
12. Country of Origin U.S.A.		Permit/Certificate No. 00US805371/9		Date of Issue 08/12/1998		12b. Breeding Operation No.							
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition							
B. Common Name NEW WORLD TROPICAL LADY-SLIPPER		Scientific Name PHRAGMIPEDIUM SPECIES		9. EXPORT: ARTIFICIALLY PROPAGATED WHOLE PLANTS (SEEDLINGS AND MATURE); AS DESCRIBED ON ATTACHED INVENTORY AND VARIETIES THEROF.		10. Appendix No. and Source 1 D							
12. Country of Origin U.S.A.		Permit/Certificate No. 00US805371/9		Date of Issue 08/12/1998		12b. Breeding Operation No.							
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition							
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.				14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation Total No. of Shipping Containers		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.							
<table border="1"> <thead> <tr> <th>See Block 7</th> <th>Quantity</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> </tbody> </table>				See Block 7	Quantity	A		B		Inspecting Official's Stamp, Signature and Date			
See Block 7	Quantity												
A													
B													

FIGURE E-1-6: Example of an DMA issued export permit to authorize the movement of CITES protected articles (Form 3-201A)

- ◆ This permit has five pages.
- ◆ The document is an export permit and not a Certificate for Artificially Propagated Plants—even though Block 5 identifies the specimens as artificially propagated. The reason it is a permit and not a certificate is because Certificates cannot be issued for Appendix I plants that were artificially propagated for commercial purposes.

- ◆ This export permit authorizes multiple shipments and copying of the permit.
- ◆ Since the document is an export permit, the consignor is crossed out in Block 4.

See **Figure E-1-7 on page-E-1-14** for an example of this certificate.

Block 6
(completed by
DMA)

Identifies the individual issuing the permit. See page 2.8.12 for a list of individuals who are authorized to sign this form. Block 6 also gives the date of issue. Original permits or certificates will have a sticker that is sealed and embossed by DMA in this block. Earlier issues of this form had the symbol of an eagle printed in this block.

Block 7/8
(completed by
DMA)

Specifies what plants (or their derivatives) are authorized to move. If the document is a certificate other than a reexport certificate, then this block will specify the kind of certificate (see also the unnumbered block to the right of the CITES logo).

Block 10
(completed by
DMA)

Specifies for each entry the Appendix under which that entry is moving, I, II, or III. Block 10 uses four abbreviations:

- ◆ (W) Specimens taken from the wild
- ◆ (R) Specimens originating from a ranching operation
- ◆ (D) Appendix I plants artificially propagated for commercial purposes, as well as parts and products thereof
- ◆ (A) Plants artificially propagated
- ◆ (C) Animals bred in captivity
- ◆ (F)FI-Generation animals born in captivity
- ◆ (U) Source unknown
- ◆ (I) Confiscated or seized specimens

Block 11
(completed by
DMA or the
permittee)

Specifies the number or amount that is being allowed to be traded—or it will incorporate one or more inventory sheets. If the document is an export permit, then DMA will complete this block. If the document is a Certificate of Artificial Propagation, and hybrids are being exported, then the permittee completes this block.

Block 12
(completed by
DMA)

For exported plants that were grown, collected, or harvested in the United States, DMA will write “U.S.A.” in this block. The document number asked for is the same as that in Block 1.


FORM 3-201A (1/97)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		Page 1 of 4	
		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)		1. Original Permit/Certificate No. 01US730760/9 2. Valid until 08/02/2005	
3. Permittee (name and address, country) ARID LANDS GREENHOUSES 3560 W. BILBY RD. TUCSON, AZ 85746		4. Consignee (name and address, country) WALLY VAN DER WALT 2 BAKER STREET NELSPRUIT, 1200 REPUBLIC OF SOUTH AFRICA			
5. Special Conditions • MUST COMPLY WITH ATTACHED CONDITIONS FOR CITES CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS. • APPENDIX I SPECIES NOT AUTHORIZED FOR EXPORT. • CERTIFICATE MAY BE COPIED FOR MULTIPLE SHIPMENTS. • PERMITTEE TO RETAIN ORIGINAL • ON CERTIFICATE COPY, PERMITTEE MUST a) COMPLETE BLOCKS 4 AND 11, b) LIST SHIPMENTS, AND c) HAVE COMPLETED CERTIFICATE COPY VALIDATED BY USDA PRIOR TO EACH SHIPMENT. • MUST EXPORT THROUGH A USDA DESIGNATED PORT. • THIS AMENDS AND RE-ISSUES US730760 ISSUED 6/19/1997. <i>For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.</i>		5a. Purpose of Transaction T		5b. Security Stamp No. US9261780	
		6. U.S. Management Authority OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA  08/03/2001 Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)			
7/8. Common Name and Scientific name (genus and species) of Animal or Plant A. Common Name EUPHORBIA		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live) 9. ARTIFICIALLY PROPAGATED PLANTS: LIVE WHOLE PLANTS OF SPECIES AND HYBRIDS AS LISTED ON ATTACHED INVENTORY.		10. Appendix No. and Source 10. 2 A 11. Quantity (including units)	

FIGURE E-1-7: Example of an DMA issued Certificate to authorize the movement of artificially propagated CITES plants (Form 3-201A)



This document is a Certificate of Artificially Propagated Plants and not an export permit because the Appendix I plants were artificially propagated (Block 10) and Block 5 shows that they were propagated for noncommercial purposes. Contrast this certificate with the permit in [Figure E-1-6 on page-E-1-12](#).

See [Figure E-1-8 on page-E-1-15](#) for an example of this document.

Block 13
(completed by a PPQ officer)

Endorses the quantity of plants moving as specified for each entry in Block 7 (may be less, but never more than was authorized in Block 7).

Block 14
(completed by a PPQ officer)

Records the bill of lading number, port of exportation (must be a designated port), and the number of containers being shipped.

Block 15
(stamped and endorsed by a PPQ officer at a designated port)

Must be endorsed by a PPQ officer at a designated port to authorize movement of the articles protected by CITES. The officer stamps, dates, and signs the block.

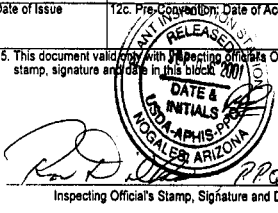
A. Common Name EUPHORBIA Scientific Name EUPHORBIA SPECIES		9. ARTIFICIALLY PROPAGATED PLANTS: LIVE WHOLE PLANTS OF SPECIES AND HYBRIDS AS LISTED ON ATTACHED INVENTORY.		10. 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota						
12. Country of Origin U.S.A.	Permit/Certificate No. US NO. 730760	Date of Issue 01/31/1989	12b. Breeding Operation No.							
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition							
B. Common Name ELEPHANT'S TRUNK DOGBANE Scientific Name PACHYPODIUM SPECIES		9. ARTIFICIALLY PROPAGATED PLANTS: LIVE WHOLE PLANTS OF SPECIES AND HYBRIDS AS LISTED ON ATTACHED INVENTORY.		10. 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota						
12. Country of Origin U.S.A.	Permit/Certificate No. US NO. 730760	Date of Issue 01/31/1989	12b. Breeding Operation No.							
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition							
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block. <table border="1"> <tr> <th>See Block 7</th> <th>Quantity</th> </tr> <tr> <td>A</td> <td>64</td> </tr> <tr> <td>B</td> <td></td> </tr> </table>		See Block 7	Quantity	A	64	B		14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation NOGALES, ARIZONA Total No. of Shipping Containers 1		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. <div style="text-align: center;">  Inspecting Official's Stamp, Signature and Date </div>
See Block 7	Quantity									
A	64									
B										

FIGURE E-1-8: Example of an endorsed DMA issued CITES document to authorize the movement of CITES protected articles (Form 3-201A)

- ◆ A permit or certificate is not valid until endorsed by a PPQ officer.
- ◆ In validating a certificate or permit, the offices must apply a “RELEASED” stamp to Block 15. Block 15 is signed at the bottom by the officer and dated with the name of the month spelled out.

Documents That Make It Legal to Export Plants Protected by CITES

Export Permit for CITES Protected Flora (Form 3-201A) (Federal Fish and Wildlife Permit):

See **Figure E-1-9 on page-E-1-17** for an example of this permit.

Purpose

To authorize the export of protected species. The species may be listed under one of three Appendixes. Currently the United States has no listing under Appendix III.

Important Information

Export permits are issued for the export of protected plants that are in Appendix I or II and do not qualify for an exception.

Plant species protected under Appendix I that are artificially propagated for commercial purposes must be issued an export permit—not a certificate of artificial propagation.

Export permits are valid only for 6 months but may authorize multiple shipments.



Important

All conditions listed in Block 5 must be followed; otherwise the movement of the protected plant or its derivatives is illegal. Block 5 will show whether multiple shipments are authorized and if the permit may be copied.

How to Endorse Export Permits

1. Fill in the quantity of plants being exported in Block 13.
2. Fill in Block 14 with the information requested.
3. Sign, stamp, and date Block 15. Use your “RELEASE” stamp and, when dating, spell out the month.

Export Permit for CITES Protected Flora (Form 3-201A) (Federal Fish and Wildlife Permit):

FCIM 3-201A (2/93)

CITES CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

Page 1 of 5

1. Original Permit / Certificate No. **US 754744**

2. Valid until **6/5/95**

3. Permittee (name and address, country)

ABREY GARDEN
4520 CARPINTERIA AVE.
CARPINTERIA CA 93013
U.S.A.

Jean Pierre Thelot
94 Allée des Mesanges
83136 Forcalqueiret
FRANCE

5. Special conditions

-APPENDIX I SPECIMENS ARTIFICIALLY PROPAGATED FOR COMMERCIAL PURPOSES (ARTICLES IV & VII.4).-U.S. ENDANGERED SPECIES ACT (50 CFR 17.62, 17.72): PRI-709815. - MAY COPY FOR MULT. EXPORTS.-MUST COMPLY W/ ATTD COND. FOR CITES EXPORT OF ART. PROP APP. I PLANTS.*SHIPMENT NUM

8. U.S. Management Authority

OFFICE OF MANAGEMENT AUTHORITY
U.S. FISH AND WILDLIFE SERVICE
DEPARTMENT OF THE INTERIOR
WASHINGTON, D.C. 20240
UNITED STATES OF AMERICA

12/5/94
Issuing Date

United States Management Authority
AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et seq.)

7. Common Name and Scientific Name (genus and species) of Animal or Plant

A. COMMON NAME
NEW RIVER AGAVE
SCIENTIFIC NAME
AGAVE ARIZONICA

8. Description of part or derivative, including identifying marks or numbers (age / sex if live)

WHOLE PLANTS.

10. Appendix No. and source

11. Quantity, number of specimens, and / or net weight (kg. or lbs.)

12. Country of origin

U.S.A.

Country of origin permit / certificate no.
US 754744

B. COMMON NAME
SANTA CRUZ STRIPED AGAVE
SCIENTIFIC NAME
AGAVE FARVIFLORA

WHOLE PLANTS.

10. Appendix No. and source

11. Quantity, number of specimens, and / or net weight (kg. or lbs.)

12. Country of origin

U.S.A.

Country of origin permit / certificate no.
US 754744

C. COMMON NAME
ALOE
SCIENTIFIC NAME
ALOE ALBIDA

WHOLE PLANTS.

10. Appendix No. and source

11. Quantity, number of specimens, and / or net weight (kg. or lbs.)

12. Country of origin

U.S.A.

Country of origin permit / certificate no.
US 754744

D. COMMON NAME
CACTUS
SCIENTIFIC NAME
CACTACEAE

WHOLE PLANTS; IDENTIFIED ON ATTACHED INVENTORY SHEET.

10. Appendix No. and source

11. Quantity, number of specimens, and / or net weight (kg. or lbs.)

12. Country of origin

U.S.A.

Country of origin permit / certificate no.
US 754744

13. Export / Re-export Endorsement:

The official who inspects shipment upon exportation / re-exportation must enter the actual quantities of specimens being exported / re-exported in this block.

See block 7	Quantity
A	
B	
C	
D	

14. Bill of Lading / Air Way-Bill Number

Air Mail Priority

Port of Exportation / Re-exportation

LOS ANGELES CALIFORNIA

Total No. of Shipping Containers

3 Cardboard Cartons

15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.

RELEASED
LOS ANGELES, CA
U.S. DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION & QUARANTINE
MAR 2 1995

FIGURE E-1-9: Example of an endorsed export permit for CITES protected flora (Form 3-201A)

Certificate for Artificially Propagated Plants (Form 3-201A) (Federal Fish and Wildlife Permit):

See **Figure E-1-10 on page-E-1-19** for an example of this certificate.

Purpose To authorize the export of protected species that are artificially propagated (a category of exception). The species may be listed under one of three Appendixes. Currently the United States has no listing under Appendix III.

Important Information Certificates for Artificially Propagated Plants may be used for all but Appendix I plants that were propagated for commercial purposes. These must be issued a permit.

Certificates may be valid for any appropriate length of time. Currently Certificates for Artificially Propagated Plants are issued for 2 years for plants listed in Appendix II. Certificates for non-commercially propagated Appendix I species are issued on a shipment-by-shipment basis.



All conditions listed in Block 5 must be followed; otherwise the movement of the protected plant or its derivatives is illegal. Block 5 will show whether multiple shipments are authorized and if the certificate may be copied.

How to Endorse Export Certificates

1. Fill in the quantity of plants being exported in Block 13.
2. Fill in Block 14 with the information requested.
3. Sign, stamp, and date Block 15. Use your “RELEASE” stamp and, when dating, spell out the month.

Appendix E: Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species


FORM 3-201A (1/97)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		Page 1 of 4							
<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)		1. Original Permit/Certificate No.: 01US730760/9 2. Valid until: 08/02/2005									
3. Permittee (name and address, country) ARID LANDS GREENHOUSES 3560 W. BILBY RD. TUCSON, AZ 85746		4. Consignee (name and address, country) (s) Charlie Chandler									
5. Special Conditions • MUST COMPLY WITH ATTACHED CONDITIONS FOR CITES CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS. • APPENDIX I SPECIES NOT AUTHORIZED FOR EXPORT. • CERTIFICATE MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL. • ON CERTIFICATE COPY, PERMITTEE MUST: a) COMPLETE BLOCKS 4 AND 11, b) LIST SHIPMENTS, AND c) HAVE COMPLETED CERTIFICATE COPY VALIDATED BY USDA PRIOR TO EACH SHIPMENT. • MUST EXPORT THROUGH A USDA DESIGNATED PORT. THIS AMENDS AND RE-ISSUES US730760 ISSUED 8/19/1997.		5a. Purpose of Transaction T		5b. Security Stamp No. 459261780							
For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.		6. U.S. Management Authority OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA  08/03/2001 Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)									
7/8. Common Name and Scientific name (genus and species) of Animal or Plant A. Common Name EUPHORBIA Scientific Name EUPHORBIA SPECIES		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live) 9. ARTIFICIALLY PROPAGATED PLANTS: LIVE WHOLE PLANTS OF SPECIES AND HYBRIDS AS LISTED ON ATTACHED INVENTORY.		10. Appendix No. and Source 10. 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota							
12. Country of Origin U.S.A.		Permit/Certificate No. US NO. 730760		Date of Issue 01/31/1989							
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue							
12b. Breeding Operation No.		12c. Pre-Convention: Date of Acquisition									
B. Common Name ELEPHANT'S TRUNK DOGBANE Scientific Name PACHYPODIUM SPECIES		9. ARTIFICIALLY PROPAGATED PLANTS: LIVE WHOLE PLANTS OF SPECIES AND HYBRIDS AS LISTED ON ATTACHED INVENTORY.		10. 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota							
12. Country of Origin U.S.A.		Permit/Certificate No. US NO. 730760		Date of Issue 01/31/1989							
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue							
12b. Breeding Operation No.		12c. Pre-Convention: Date of Acquisition									
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation Total No. of Shipping Containers		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. Inspecting Official's Stamp, Signature and Date							
<table border="1"> <thead> <tr> <th>See Block 7</th> <th>Quantity</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> </tbody> </table>		See Block 7	Quantity	A		B					
See Block 7	Quantity										
A											
B											

FIGURE E-1-10: Example of a Certificate for artificially propagated plants (Form 3-201A)

Continuation Sheet to Accompany CITES Documents (Federal Fish and Wildlife Permit):

See [Figure E-1-11 on page E-1-21](#) for an example of this continuation sheet.

Purpose

To allow more than four entries on a permit or certificate issued under the authority of CITES. Note that Block 7/8 on Form 3-201A has space for only four entries—A through D.

Important Information

The continuation sheet becomes a part of the permit or certificate and therefore must be validated by a PPQ officer to authorize movement of the articles listed on it.

How to Endorse Continuation Sheets to Permits and Certificates

1. Fill in the quantity of plants being exported and the Port of Exportation (must be a designated port) in Block 14.
2. Fill in the waybill number in Block 15.
3. Sign, stamp, and date in the appropriate lines in Block 14. Use your “RELEASE” stamp and, when dating, spell out the month.

CITES		EXPORT / RE-EXPORT CONTINUATION SHEET		OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA		Page 2 of 3	
5b. Security Stamp No. <i>US9249958</i>		6. U.S. Management Authority WASHINGTON, D.C. PLACE		08/16/2000 Issuing Date		1. Original Permit/Certificate No. 00US816220/9	
7/8. Common Name and Scientific name (genus and species) of Animal or Plant		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)		10. Appendix No. and Source			
C. Common Name HYBRID LADY'S SLIPPER Scientific Name PAPHIOPEDILUM HYBRID		9. CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS WHOLE PLANTS		10. 1 A			
12. Country of Origin U.S.A		Permit/Certificate No. 00US816220/9		Date of Issue 08/16/2000		11. Quantity (including units)	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		11a. Total Exported/Quota	
12b. Breeding Operation No.		12c. Pre-Convention: Date of Acquisition					
Common Name		9.		10.			
Scientific Name				11. Quantity (including units)			
12. Country of Origin		Permit/Certificate No.		Date of Issue		11a. Total Exported/Quota	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12b. Breeding Operation No.	
12c. Pre-Convention: Date of Acquisition							
Common Name		9.		10.			
Scientific Name				11. Quantity (including units)			
12. Country of Origin		Permit/Certificate No.		Date of Issue		11a. Total Exported/Quota	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12b. Breeding Operation No.	
12c. Pre-Convention: Date of Acquisition							
Common Name		9.		10.			
Scientific Name				11. Quantity (including units)			
12. Country of Origin		Permit/Certificate No.		Date of Issue		11a. Total Exported/Quota	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12b. Breeding Operation No.	
12c. Pre-Convention: Date of Acquisition							
Common Name		9.		10.			
Scientific Name				11. Quantity (including units)			
12. Country of Origin		Permit/Certificate No.		Date of Issue		11a. Total Exported/Quota	
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12b. Breeding Operation No.	
12c. Pre-Convention: Date of Acquisition							
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number		15. This document valid only with inspecting officer's ORIGINAL stamp, signature and date in this block.			
See Block 7		Quantity		RELEASED			
C				HILO, HI U.S. DEPARTMENT OF AGRICULTURE ANIMAL & PLANT HEALTH INSPECTION PLANT PROTECTION & QUARANTINE			
				Randy H. [Signature] September 24, 2001 Inspecting Officer's Stamp, Signature and Date			

FIGURE E-1-11: Example of an endorsed continuation sheet to accompany CITES documents (FFW Permit)

Inventory Sheet to Accompany CITES Documents (Federal Fish and Wildlife Document):

See **Figure E-1-12 on page-E-1-23** for an example of this inventory sheet.

Purpose

To specify the species being traded. The inventory sheet serves as an invoice.

Important Information

The inventory sheet becomes a part of the permit or certificate and therefore must be validated by a PPQ officer to authorize movement of the articles listed on it.

Inventory sheets are used when the exporter requests authorization for more than four species or for a whole genus or family. Thus, an inventory sheet would be required to export a single plant if the permit was for a whole genus or family.

If there is an inventory sheet attached, Block 11 of the permit, certificate, or continuation sheet will show “Inventory attached.”



The exporter can enter additional species to the inventory sheet as long as those entries do not supersede what is authorized on the permit or certificate.

How to Endorse Inventory Sheets

1. Fill in the Port of Exportation (must be a designated port) in Block 14.
2. Sign, stamp, and date in the appropriate lines in Block 14. Use your “RELEASE” stamp and, when dating, spell out the month.





	INVENTORY SHEET	Office of Management Authority U.S. Fish and Wildlife Service Department of the Interior Washington, D.C. 20240 UNITED STATES OF AMERICA	Page 4 of 4. 1. Original Permit/Certificate No. 01US684398/9
5/6. THIS PERMIT IS ISSUED UNDER AUTHORITY OF THE ENDANGERED SPECIES ACT OF 1973 (16 U.S.C. 1531 et seq.) BY:			
459261783 Security Stamp or Paper No.		WASHINGTON, D.C. Place	08/03/2001 Issuing Date
 United States Management Authority			
PERMITTEE: ARID LANDS GREENHOUSES (Quantity and species from approved list to be listed by permittee) BLOCK 7/8 A, B, C, D, E, F QUANTITY SPECIES			
A	2	Euphorbia actinoclada -c	
A	3	Euphorbia ambroseae	
A	3	Euphorbia barnhartii	
A	2	Euphorbia boranensis	
A	3	Euphorbia buruana - c	
A	3	Euphorbia cactus	
A	3	Euphorbia classenii	
A	4	Euphorbia dawei	
A	2	Euphorbia dissitaspina	
A	2	Euphorbia elegantissima	
A	3	Euphorbia fortissima -c	
A	2	Euphorbia graniticola	
A	2	Euphorbia griseola zambiensis	
A	3	Euphorbia inarticulata	
A	2	Euphorbia nigrispina	
A	3	Euphorbia parciramulosa	
A	2	Euphorbia proballyana	
A	3	Euphorbia pseudoburuana	
A	3	Euphorbia quadrialata	
A	2	Euphorbia samburuensis	
A	2	Euphorbia tescorum Lav. 12516	
A	3	Euphorbia vallis -c	
A	2	Euphorbia viduiflora	
A	2	Euphorbia vulcanorum	
A	3	Euphorbia williamsonii	
	64	Total Plants	
<div style="float: right; text-align: center;">   Inspecting Official's Stamp, Signature and Date </div>			
15. EXPORT/RE-EXPORT/IMPORT ENDORSEMENT: I, the inspecting official, certify that the information provided above is accurate. This document is valid only with inspecting official's ORIGINAL stamp, signature and date in this block.			

FIGURE E-1-12: Example of an endorsed inventory sheet to accompany CITES documents (FFW document)

Wild Ginseng Export Report (Federal Fish and Wildlife Document):

See **Figure E-1-13 on page E-1-24** for an example of this report.

Purpose

To identify the special conditions for the export of wild American ginseng.

Important Information

The bottom left-hand portion of the Report lists the States eligible for export of wild American ginseng for a particular season.

Except for the "Endorsement Block" the form is completed by the exporter. The exporter must write in the weight, by State, of the root being exported.

This form is attached to the export permit (since it is wild root).

How to Endorse Wild Ginseng Export Reports

If the permit that accompanies the report is authentic, all special conditions are met, and the State certificate(s) and the DMA issued permit match the Report, then stamp "RELEASED" on the line at the bottom of the endorsement block; sign and date, spelling out the month.

CATEGORIES OF GINSENG

	WILD		ARTIFICIALLY PROPAGATED	
	Wild	Wild simulated	Cultivated	Cultivated Woods-grown
Origin	Naturally occurring	Seeds or roots planted in natural habitat	Cultivated seed or roots	Cultivated seed or roots
Habitat	Within natural range, in suitable ginseng habitat	Within natural range, in suitable ginseng habitat	Grown in fields	Grown in woods similar to natural habitat
Cultivation	None	Planting of seeds or roots only	Intensive	When planted, largest rocks removed and drainage ditches may be dug around the beds
Fungicide	None	None	Extensive	Extensive
Harvest Methods	Dug by hand	Dug by hand	Often dug by mechanical means	Dug by hand

WILD GINSENG EXPORT REPORT FOR 2000 HARVEST SEASON

NOTE: permittee must supply the following information and attach original State Certificates for the ginseng in this shipment.

States Authorized for 2000 Export:

STATE	WEIGHT	
	Wild	Wild Simulated
Alabama	_____	_____
Arkansas	_____	_____
Georgia	_____	_____
Illinois	_____	_____
Indiana	_____	_____
Iowa	_____	_____
Kentucky	_____	_____
Maryland	_____	_____
Minnesota	_____	_____
Missouri	_____	_____
New York	_____	_____
N. Carolina	<u>31</u>	_____
Ohio	_____	_____
Pennsylvania	<u>3</u>	_____
Tennessee	_____	_____
Vermont	_____	_____
Virginia	_____	_____
West Virginia	_____	_____
Wisconsin	_____	_____

Total Weight of this Shipment 84 lbs.

Revised August 2000

PORT OF EXPORT BALTIMORE-WASHINGTON INTL

DATE OF EXPORT OCTOBER 26, 2001

CONSIGNEE LEE HOONG KEE LIMITED
17 QUEEN'S ROAD WEST,
GROUND FLOOR
HONG KONG

U.S. PERMIT # 01US029057/9

SHIPMENT # 1
(start with # 1 each year)

FOR HERSHEY'S INTERNATIONAL, INC.
Glenn D. McNeill
 (PERMITTEE'S SIGNATURE)

Endorsement:
RELEASED BY USDA
10/30/01 Signature of APHIS Inspector 3288
 1 CONTAINERS & _____ PKGS. OPENED
 Official APHIS/PPQ Stamp
57996

FIGURE E-1-13: Example of an endorsed DMA export report listing the special conditions for the export of wild ginseng (front) (FFW document)

Cultivated Ginseng Export Report (Federal Fish and Wildlife Document):

See an **Figure E-1-14 on page-E-1-26** for an example of this report.

Purpose	To identify the special conditions for the export of cultivated American ginseng.
Important Information	<p>Except for the lines for endorsement in the lower right-hand corner, the form is completed by the exporter. The exporter must write in the weight, by State, of the root being exported.</p> <p>This form is attached to the Certificate for Artificially Propagated Plants (since it is cultivated root).</p>
How to Endorse Cultivated Ginseng Export Reports	If the permit that accompanies the Report is authentic, all special conditions are met, and the State certificate verifies that the root was cultivated, then stamp “RELEASED” on the line at the bottom of the endorsement block; then sign and date, spelling out the month.

CATEGORIES OF GINSENG				
	WILD		ARTIFICIALLY PROPAGATED	
	Wild	Wild simulated	Cultivated	Cultivated Woodsgrown
Origin	Naturally occurring	Seeds or roots planted in natural habitat	Cultivated seed or roots	Cultivated seed or roots
Habitat	Within natural range, in suitable ginseng habitat	Within natural range, in suitable ginseng habitat	Grown in fields	Grown in woods similar to natural habitat
Cultivation	None	Planting of seeds or roots only	Intensive	When planted, largest rocks removed and drainage ditches may be dug around the beds
Fungicide	None	None	Extensive	Extensive
Harvest Methods	Dug by hand	Dug by hand	Often dug by mechanical means	Dug by hand

CULTIVATED GINSENG EXPORT REPORT

NOTE: permittees must supply the following information and attach original State Certificates for the ginseng in this shipment.

States Authorized for Cultivated Ginseng Export:

State	Weight		PORT OF EXPORT <u>CHICAGO, ILL</u>
	Cultivated	Cultivated Woodsgrown	DATE OF EXPORT <u>10-16-01</u>
Alabama	_____	_____	CONSIGNEE <u>Wing Ioo Loong GINSENG</u>
Arkansas	_____	_____	<u>31 NORTH CAVALL RD</u>
Georgia	_____	_____	<u>GLWA PARK E 0105</u>
Idaho	_____	_____	
Illinois	_____	_____	
Indiana	_____	_____	
Iowa	_____	_____	U.S. PERMIT # <u>696378</u>
Kentucky	_____	_____	SHIPMENT # <u>03</u>
Maine	_____	_____	(start with # 1 each year)
Maryland	_____	_____	<u>Tatiana</u>
Michigan	_____	_____	(PERMITTEE'S SIGNATURE)
Minnesota	_____	_____	
Missouri	_____	_____	
New York	_____	_____	
N. Carolina	_____	_____	
N. Dakota	_____	_____	
Ohio	_____	_____	
Oregon	_____	_____	
Pennsylvania	_____	_____	
Tennessee	_____	_____	
Vermont	_____	_____	
Virginia	_____	_____	
Washington	_____	_____	
West Virginia	_____	_____	
Wisconsin	<u>1180</u>	_____	

Total Weight of this Shipment 1180 LBS.

Endorsement:

Paul H. Lyon, October 19, 2001

Signature of APHIS/PPQ Inspector

RELEASED

CHICAGO, IL

U.S. DEPARTMENT OF AGRICULTURE

ANIMAL AND PLANT HEALTH INSPECTION SERVICE

PLANT PROTECTION AND QUARANTINE

Revised 10-22-99

FIGURE E-1-14: Example of an endorsed DMA export report listing the special conditions for the export of cultivated ginseng (front) (FFW document)

American Ginseng Export Certificate (State issued certificate):

See [Figure E-1-15 on page-E-1-27](#) for a sample of this certificate.

Purpose

To certify that the root was either legally collected or cultivated in the State identified on the certificate.

Important Information

The certificate must be an original and signed by a State regulatory official.

- ◆ There cannot be both wild and cultivated American ginseng on the same certificate.

- ◆ If the exporter is exporting only a portion of the roots authorized on the Certificate, then allow the exporter to mark the balance on the certificate. Changes must be signed and dated by the exporter.
- ◆ Never allow the State certificate to go forward with the exported roots! This certificate must be sent to DMA after it is endorsed by a PPQ officer.

(State) Dealer Registration Number _____
 Certification Number _____
 Shipment Number _____

S T A T E O F I S S U A N C E

AMERICAN GINSENG EXPORT CERTIFICATE

This is to certify that to the best of my knowledge, the American ginseng root in this shipment consisting of:

_____ pounds _____ ounces of wild root

_____ pounds _____ ounces of cultivated root

were legally collected in accordance with State and Federal law in (State) as approved for the (current) harvest season by the Office of the Scientific Authority of The U.S. Fish and Wildlife Service of The U.S. Department of the Interior. This certification is based on permanent records of commerce in ginseng dealings as required by the State of registration.

Signature of Registered Dealer

Address of Registered Dealer

Date of Certification by Dealer

State Inspector (if required by the State)

Date of Inspection

SAMPLE

Note: Dealers must be registered in the States from which they purchase the ginseng described in the certificate.

This certificate must accompany each shipment of ginseng upon and after the first sale of the ginseng.

A Federal Export Permit is required to export wild ginseng from the United States. Artificially Propagated Plant certificates are necessary for international shipment of cultivated ginseng. These documents are available from the Wildlife Permit Office, P.O. Box 3654, Arlington, VA 22203. Apply at least 60 days prior to date of export.

A valid federal export permit or certificate of Artificial Propagation and copies of these State Certificates listing the ginseng in the shipment are required to export wild or cultivated ginseng from the U.S.

FIGURE E-1-15: Sample of a State certificate of origin for the export of wild ginseng (State issued certificate)

Appendix E: Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species